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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> |  | Attorney Docket No. <b>27611/38403A</b>     |  |
|   |  | First Inventor <b>William S. Becker</b>     |  |
|   |  | Title <b>WIND TURBINE DEVICE</b>            |  |
|   |  | Express Mail Label No. <b>EV341012885US</b> |  |

|  |  |   |  |
|--|--|---|--|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small> |  | <b>ADDRESS TO:</b><br>MS Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450 |  |
|--|--|---|--|

|   |   |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(Submit an original, and a duplicate for fee processing)</small><br>2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br><small>See 37 CFR 1.27.</small><br>3. <input checked="" type="checkbox"/> Specification <span style="float: right;">[Total Pages <b>40</b>]</span><br><small>(preferred arrangement set forth below)</small><br>- Descriptive title of the invention<br>- Cross Reference to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to sequence listing, a table, or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure<br>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float: right;">[Total Sheets <b>11</b>]</span><br>5. Oath or Declaration <span style="float: right;">[Total Sheets <span style="border: 1px solid black; padding: 0 10px;">  </span>]</span><br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><small>(for continuation/divisional with Box 18 completed)</small><br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br><small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small><br>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)<br>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)<br>a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or   ii. <input type="checkbox"/> Paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies<br><b>ACCOMPANYING APPLICATIONS PARTS</b><br>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <span style="float: right;"><input type="checkbox"/> Power of Attorney</span><br><small>(when there is an assignee)</small><br>11. <input type="checkbox"/> English Translation Document (if applicable)<br>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <span style="float: right;"><input type="checkbox"/> Copies of IDS Citations</span><br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503) <span style="float: right;"><input type="checkbox"/> Certified Copy of Priority Document(s)</span><br><small>(Should be specifically itemized)</small><br>15. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).<br><small>(if foreign priority is claimed)</small><br>16. <input type="checkbox"/> Applicant must attach form PTO/SB/35 or its equivalent.<br>17. <input checked="" type="checkbox"/> Other: <span style="border: 1px solid black; padding: 2px;">General Authorization</span> |
|---|---|

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP)    of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|   |  |   |                    |
|---|--|---|--------------------|
| <b>19. CORRESPONDENCE ADDRESS</b>                                     |  |   |                    |
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label |  | <b>04743</b>  |                    |
|   |  | or <input checked="" type="checkbox"/> Correspondence address below |                    |
| Name  | <b>MARSHALL, GERSTEIN &amp; BORUN LLP</b><br><b>Richard B. Hoffman</b> |   |                    |
| Address   | <b>233 S. Wacker Drive, Suite 6300</b><br><b>Sears Tower</b>           |   |                    |
| City  | Chicago  | State   | IL                 |
| Country   | US   | Zip Code  | 60606-6357         |
|   | Telephone  | (312) 474-6300  | Fax (312) 474-0448 |

|                   |                    |                                   |        |
|-------------------|--------------------|-----------------------------------|--------|
| Name (Print/Type) | Richard B. Hoffman | Registration No. (Attorney/Agent) | 26,910 |
| Signature         |                    |                                   | Date   |
|                   |                    | July 29, 2003                     |        |



16367 U.S. PTO  
07/29/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) 1,500.00

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | Not Yet Assigned      |
| Filing Date          | Concurrently Herewith |
| First Named Inventor | William S. Becker     |
| Examiner Name        | Not Yet Assigned      |
| Art Unit             | N/A                   |
| Attorney Docket No.  | 27611/38403A          |

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account

Deposit Account Number

13-2855

Deposit Account Name

MARSHALL, GERSTEIN & BORUN LLP

The Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity        |          | Small Entity |          | Fee Description        | Fee Paid           |
|---------------------|----------|--------------|----------|------------------------|--------------------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |                        |                    |
| 1001                | 750      | 2001         | 375      | Utility filing fee     | 375.00             |
| 1002                | 330      | 2002         | 165      | Design filing fee      |                    |
| 1003                | 520      | 2003         | 260      | Plant filing fee       |                    |
| 1004                | 750      | 2004         | 375      | Reissue filing fee     |                    |
| 1005                | 160      | 2005         | 80       | Provisional filing fee |                    |
| <b>SUBTOTAL (1)</b> |          |              |          |                        | <b>(\$)</b> 375.00 |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid         |
|--------------------|--------------|----------------|------------------|
| 131                | -20** = 111  | x 9.00 =       | 999.00           |
| Independent Claims | 6            | -3** = 3       | x 42.00 = 126.00 |
| Multiple Dependent |              |                |                  |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                          |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |
| 1204         | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$) 1,125.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |          |
| 1052         | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 130      | 1053         | 130      | Non-English specification  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252         | 410      | 2252         | 205      | Extension for reply within second month                                    |          |
| 1253         | 930      | 2253         | 465      | Extension for reply within third month                                     |          |
| 1254         | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |          |
| 1255         | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |          |
| 1401         | 320      | 2401         | 160      | Notice of Appeal   |          |
| 1402         | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |          |
| 1403         | 280      | 2403         | 140      | Request for oral hearing   |          |
| 1451         | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452         | 55       | Petition to revive - unavoidable   |          |
| 1453         | 1,300    | 2453         | 650      | Petition to revive - unintentional   |          |
| 1501         | 1,300    | 2501         | 650      | Utility issue fee (or reissue)   |          |
| 1502         | 470      | 2502         | 235      | Design issue fee   |          |
| 1503         | 630      | 2503         | 315      | Plant issue fee  |          |
| 1460         | 130      | 1460         | 130      | Petitions to the Commissioner  |          |
| 1807         | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806         | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810         | 750      | 2810         | 375      | For each additional invention to be examined (37CFR 1.129(b))              |          |
| 1801         | 750      | 2801         | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 0.00

## SUBMITTED BY

Name (Print/Type) Richard B. Hoffman

Registration No. (Attorney/Agent)

26,910

## Complete (if applicable)

Telephone (312) 474-6616

Signature

*Richard B. Hoffman*

Date

July 29, 2003

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Patent Application of:  
William S. Becker

Application No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filed: Concurrently Herewith

Examiner: Not Yet Assigned

For: WIND TURBINE DEVICE

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**GENERAL AUTHORIZATION UNDER 37 CFR 1.136(a)(3)**

Box Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Arlington, VA 22314-1450

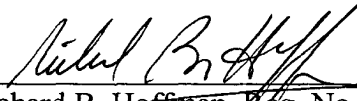
Sir:

Applicants hereby request and authorize that any future reply concerning this patent application requiring a petition for an extension of time under 37 CFR 1.136 for its timely submission be treated as incorporating a petition for extension of time for the appropriate length of time.

Respectfully submitted,

Date: July 30, 2003

By



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